



## Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and  
Professional Registration  
Division: Professional Registration

Section:  
Sub-Section:

<b>TITLE:</b> Complaint/Investigation Files		<b>CUTOFF:</b> End of State Fiscal Year	
<b>DESCRIPTION:</b> Investigative reports conducted by the Commission staff in response to consumer complaints/Commission directives for possible disciplinary action. These files may contain disciplinary action taken by board.		<b>RETENTION:</b> Years: 5 Months: 0 Days: 0	
<b>NOTES:</b> Records are transferred to license files, record series 23414.		<b>DISPOSITION ACTION:</b> Transfer to appropriate file	
<b>SERIES:</b> 23418	<b>SERIES STATUS:</b> Approved	<b>APPROVAL DATE:</b>	10/13/2011
<b>TITLE:</b> Conference, Seminar, and Workshop Sponsor Records		<b>CUTOFF:</b> End of State Fiscal Year	
<b>DESCRIPTION:</b> Records documenting an agency's role in the administration, planning, arrangement, and execution of conferences. Includes but no limited to planning and arrangement documents, program brochures, and announcements, registration and attendance lists, reports, proceedings, summary evaluations, and related correspondence.		<b>RETENTION:</b> Years: 5 Months: 0 Days: 0	
<b>NOTES:</b>		<b>DISPOSITION ACTION:</b> Destroy	
<b>SERIES:</b> 23420	<b>SERIES STATUS:</b> Approved	<b>APPROVAL DATE:</b>	10/13/2011
<b>TITLE:</b> Education School Files		<b>CUTOFF:</b> End of State Fiscal Year	
<b>DESCRIPTION:</b> Files contain, but are not limited to, initial applications for accreditation, course approval applications and correspondence.		<b>RETENTION:</b> Years: 10 Months: Days:	
<b>NOTES:</b>		<b>DISPOSITION ACTION:</b> Destroy	
<b>SERIES:</b> 23416	<b>SERIES STATUS:</b> Approved	<b>APPROVAL DATE:</b>	10/13/2011



## Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and  
Professional Registration  
Division: Professional Registration

Section:  
Sub-Section:

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**TITLE:** Equipment and Vehicle Use Records

**CUTOFF:** EOSFY in which vehicle or equipment is  
surplused

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**DESCRIPTION:** Documentation of use of state owned equipment and vehicles. Use is  
measured in equipment hours, mileage, clock hours.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

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**SERIES:** 23422

**SERIES STATUS:** Approved

**APPROVAL DATE:** 10/13/2011

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**TITLE:** Equipment Inventory

**CUTOFF:** End of State Fiscal Year

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**DESCRIPTION:** Listing of the agency's fixed assets, including but not limited to computers,  
furniture, or specialized equipment.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

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**SERIES:** 23423

**SERIES STATUS:** Approved

**APPROVAL DATE:** 10/13/2011

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**TITLE:** Equipment Maintenance and Repair Records

**CUTOFF:** EOSFY in which vehicle or equipment is  
surplused

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**DESCRIPTION:** Documentation of maintenance and repair on state owned or leased  
equipment performed in-house by the state or performed by an outside  
contractor.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

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**SERIES:** 23424

**SERIES STATUS:** Approved

**APPROVAL DATE:** 10/13/2011

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## Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and  
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Division: Professional Registration

Section:  
Sub-Section:

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**TITLE:** Examination Folders

**CUTOFF:** End of State Fiscal Year

**DESCRIPTION:** Each folder contains the record of one examination, date it was held, number of examinees, all correspondence in connection with the examination and master tabulation giving grade made by each examinee.

**RETENTION:** Years: 75 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23419

**SERIES STATUS:** Approved

**APPROVAL DATE:** 10/13/2011

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**TITLE:** License Files

**CUTOFF:** EOSFY in which License Last Renewed

**DESCRIPTION:** Records include, but are not limited to, licensing applications, education completion certificates, applications to change status and letters of recommendation, inspections, correspondence, and index cards. These records are used for license verification.

**RETENTION:** Years: 75 Months: Days:

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 23414

**SERIES STATUS:** Approved

**APPROVAL DATE:** 10/13/2011

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**TITLE:** License Renewal Applications

**CUTOFF:** End of State Fiscal Year

**DESCRIPTION:** Records contain completed license renewal applications, documentation concerning continuing education courses taken, questions pertaining to prior convictions and disciplinary information. These applications are submitted every one to two years.

**RETENTION:** Years: 5 Months: Days:

**NOTES:** Records are transferred to license files, record series 23414.

**DISPOSITION ACTION:** Transfer to appropriate file

**SERIES:** 23415

**SERIES STATUS:** Approved

**APPROVAL DATE:**

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## Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and  
Professional Registration

Section:

Division: Professional Registration

Sub-Section:

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**TITLE:** Personnel Performance Planning and Appraisal Evaluations

**CUTOFF:** End of State Fiscal Year

**DESCRIPTION:** Records resulting from periodic assessment of employee's performance  
and planning for future performance.

**RETENTION:** Years: 1 Months: 0 Days: 0

**NOTES:** Records are transferred to personnel files, record series 21568.

**DISPOSITION ACTION:** Transfer to appropriate file

**SERIES:** 23421

**SERIES STATUS:** Approved

**APPROVAL DATE:** 10/13/2011

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